

NATIONAL SECURITY COUNCIL  
WASHINGTON, D.C. 20506

71-750

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February 9, 1971

DDI-360-71

National Security Decision Memorandum 98

TO:           The Secretary of State  
              The Secretary of Defense  
              The Director, Office of Management and Budget  
              The Director, United States Information Agency  
              The Director of Central Intelligence  
              The Director, Arms Control & Disarmament Agency

SUBJECT:    Coordination of Foreign Affairs Research Sponsored by  
              the Federal Government

The President has reviewed the report of the Ad Hoc Committee set up under the authority of the memorandum of May 28, 1969, to review present procedures for coordinating foreign affairs research sponsored by the Federal Government. He considers that the report underscores the necessity for closer coordination of foreign affairs research to avoid duplication of effort and to enhance the quality and utility of the research product.

The President has directed that the Under Secretaries Committee assume the responsibility for assuring interagency coordination of the external foreign affairs research sponsored by the departments and agencies in receipt of this Memorandum. In this connection, the Under Secretaries Committee is charged with coordinating the preparation of an annual foreign affairs consolidated research plan to be submitted for approval by the President. This plan should state group-wide and individual agency research goals and priorities, present a multi-year plan for regional and functional areas indicating agency responsibilities, and suggest joint funding of particular activities. It should be designed to avoid duplication and assure maximum interagency utility of the end product in terms of both content and availability. The Under Secretaries Committee also should make recommendations on related matters, including the state of in-house research programs and capabilities.

The Chairman of the Under Secretaries Committee may establish an interagency subcommittee or working group, including representatives of the addressees of this memorandum as appropriate, to assist the Under Secretaries Committee in the discharge of this responsibility.

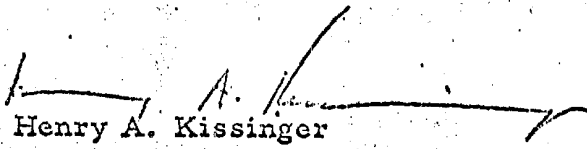
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Those parts of the terms of reference proposed by the Ad Hoc Committee dealing with the purpose, scope, membership, and functions of a coordinating body should be drawn upon by the Under Secretaries Committee as appropriate in carrying out its responsibilities.

  
Henry A. Kissinger

cc: The Secretary of the Treasury  
The Secretary of Agriculture  
The Secretary of Commerce  
The Secretary of Labor  
The Secretary of Health, Education, and Welfare  
The Director, Office of Emergency Preparedness  
The Chairman, Joint Chiefs of Staff  
The Director, National Science Foundation  
The Administrator, Agency for International Development  
The Director, Office of Science & Technology  
The Chairman, Atomic Energy Commission  
The Director, National Aeronautics and Space Administration

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March 4, 1971

Terms of Reference

UNDER SECRETARIES COMMITTEE  
SUBCOMMITTEE ON FOREIGN AFFAIRS RESEARCH

1. AUTHORIZATION AND IDENTIFICATION

This subcommittee is established as part of the National Security Council system pursuant to the President's directive in NSDM 98 and the directive of the Chairman of the Under Secretaries Committee in NSC-U/SM 96. Its symbol will be USC/FAR. It supersedes but builds upon the work done by the Foreign Area Research Coordination Group (FAR), established by voluntary agreement of the foreign affairs research community on April 9, 1964.

2. PURPOSE

The USC/FAR's purpose is systematically to coordinate member agency external social science research activities which bear upon foreign affairs in order to develop and monitor a coherent inter-departmental program of external research.

3. SCOPE

The USC/FAR is concerned with the full range of needs of the national security foreign affairs process which may be met in whole or in part from research involving the application or advancement of the social-behavioral sciences or humanistic studies. (See Annex A.\*)

4. ORGANIZATION

A. Members. The members of the USC/FAR are representatives of:

1. The Department of State (Chairman)
2. The Department of Defense
3. The United States Information Agency
4. The Agency for International Development
5. The Arms Control and Disarmament Agency
6. The Assistant to the President for National Security Affairs

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\* While Annexes A-D are an integral part of these terms of reference, the Annexes are to be construed as initial guidance for the USC/FAR which may be amended, developed, and refined by the group itself in the light of experience.

- B. Observers. The heads of the following departments and agencies will be represented by observers at the meetings of the USC/FAR and such of its working groups as may be determined by the Chairman:
1. The Department of Health, Education, and Welfare
  2. The Office of Management and Budget
  3. The Central Intelligence Agency
  4. The Office of Science and Technology
  5. The National Science Foundation
- C. Others. Representatives of the heads of other U.S. departments and agencies may be invited by the appropriate chairman to participate as ad hoc members or observers in meetings of the USC/FAR or its working groups when the agenda involves matters for which they have major responsibilities. The extent of participation of observers and ad hoc members will be decided on a case-by-case basis. On the advice of the USC/FAR Chairman, the Under Secretary of State may invite observer or nonmember agencies to join the USC/FAR as full participating members. (See Annex D for responsibilities of nonmember agencies.)
- D. Chairman. The Under Secretary of State will appoint the Chairman of the USC/FAR.
- E. Working Groups. The Chairman may establish such standing and ad hoc working groups as are required to assist the USC/FAR. Interested members may request representation. It is expected that the working groups will cover the major geographic regions and provide for important areas of functional, basic, and multinational research. Observer or nonmember agencies may be asked by the USC/FAR to sit as full participating members on specified working groups.
- F. Secretariat. The Department of State will provide an Executive Secretary and a staff to furnish secretariat services to the USC/FAR and its working groups.
- G. Agency Representatives. The head of each member or observer agency will designate to the Under Secretary of State his representative to the USC/FAR. The representative will be responsible for his agency's participation in the USC/FAR and its working groups, including internal coordination and the submission of research information, plans, and reports as required. Each member agency will assure that its representative is so positioned in the agency as to be conversant with agency policies, planning, and programs related to

foreign affairs as well as conversant with agency research programs and plans and with the agency's participation in the NSC process. Whether the representative normally carries either research or operating responsibilities in his agency, he should assure that both interests make appropriate inputs to the work of the USC/FAR. Each member agency will establish internal procedures for effective agency participation in the USC/FAR.

- H. Reporting. The Chairman of the USC/FAR will report to the USC. USC/FAR members may exercise the usual right to appeal in the event of disagreement with the Chairman's decisions. In forwarding group plans and reports to the USC, dissenting views of member agencies will be presented.

## 5. FUNCTIONS

To carry out its purpose the USC/FAR is authorized to perform the following functions:

- A. Develop a Foreign Affairs Consolidated Research Plan which it will recommend to the USC on August 1 each year. The plan -- which is to focus on the program rather than the project level -- is to be developed along the lines described in Annex B. Typically, the plan will:
1. State groupwide and individual member agency research goals and priorities for both the near and long term;
  2. Consistent with the priorities, coordinate and allocate program responsibility among agencies;
  3. Present a multiyear budget for regional and functional program areas in which individual and multiagency responsibilities are indicated;
  4. Suggest joint funding of particular activities.
- B. Recommend Joint Funding of Projects and Programs. The USC/FAR Chairman is authorized to explore possibilities and to encourage, where appropriate, the joint funding of specific activities by two or more agencies.
- C. Collect and Disseminate Information on Research and Improve Utilization of Research Results. In order to make the USC/FAR

progressively more effective and to assure efficiency in the sponsoring of external research and its effective utilization, the Executive Secretary of the USC/FAR will be responsible for the collection and dissemination of relevant information and documents.

1. The Executive Secretary will assure that a complete and current inventory of Government-supported external research projects is maintained and made available to all members, that copies of all research reports resulting from agency projects are accessioned by the Foreign Affairs Research Documentation Center and member agencies alerted to their availability, and that all other necessary exchanges of information authorized by the USC/FAR Chairman take place. (See Annex C for responsibilities of agencies to supply information.)
  2. To the maximum extent consistent with the national security, research information developed by the USC/FAR will be shared, under policies approved by the group, in the Government and with the private research community. Other appropriate steps will be taken to establish mutual trust and good working relations among the governmental, nongovernmental, intergovernmental, and foreign research sectors.
- D. Arrange Working Group Consultations and Initiatives. Each USC/FAR working group will stand ready to constitute itself an informal advisory group for any agency (member or nonmember) that wishes to consult member agencies in developing and designing specific programs or projects, the subject matter of the program or project serving as a guide to selecting the most appropriate working group for consultation. Member agencies are to be encouraged to seek such consultation for all major programs and projects which have a substantial interagency interest, even if the Consolidated Research Plan does not specifically so direct. However, it is recognized that some studies of specific situations or events must be fielded and reported within such a short timeframe that working group consultation may not be feasible. Each working group is responsible for recommending to the USC/FAR Chairman improved ways to accomplish the work of the USC/FAR and problems or opportunities to which it should address itself.
- E. Establish Liaison. To assure relevance of external research to policy planning and programming, the chairmen of the USC/FAR and its working groups will arrange for participation

in their meetings by appropriate staff members of NSC Inter-departmental Groups and of the Department of State's Planning and Coordination Staff (S/PC). To assure that it carries out its activities with adequate awareness of the context in which they exist, the USC/FAR will establish liaison with other units or groups in the Government concerned with the domestic and overall advancement and application of the social-behavioral and humanistic disciplines, liaison with the private U.S. research community, and liaison with those agencies of Government and other organizations concerned with the development and international support of relevant foreign and multinational research capabilities.

- F. Make Recommendations on Related Matters. Although the USC/FAR is to direct its efforts to the purpose specified and with the authority given it by this document, it needs to be recognized that its work will impinge upon and be affected by a number of related matters. These matters include: (1) the general state of and the national interest in advancing and applying the social-behavioral and humanistic disciplines; (2) the state of university and Government programs which bear upon advanced education and training in foreign area and international studies; (3) the state of international educational, cultural, and information exchange programs; (4) the state of relevant foreign research capabilities; (5) the state of Government in-house research and study units, programs, and capabilities. The USC/FAR is authorized to direct its attention and resources to the consideration of these and other contextual matters when it appears that such attention may result in transmission to the proper authority in Government of well-coordinated recommendations for ways in which the U.S. Government can better deal with problems and opportunities in these areas.

Annex A. Scope and Guidelines.

Annex B. Sample Schedule for Preparation of the Consolidated Research Plan.

Annex C. Information Responsibilities of Members.

Annex D. Responsibilities of Nonmember Agencies.

Annex A.

SCOPE AND GUIDELINES

1. Scope: The USC/FAR takes the broadest possible view of national security foreign affairs, and concerns itself not only with the political-military dimensions of national security and foreign affairs but with all geographic areas and the full range of functional dimensions of international affairs in which the distinctions between foreign and domestic affairs are increasingly blurred. Within that broad view:

A. The USC/FAR is directly concerned with:

1. All external (contract and grant) social-behavioral and humanistic research and studies\* supported by member agencies the purpose of which is:
  - a. To detect or clarify situations and trends;
  - b. To anticipate problems and opportunities;
  - c. To review, evaluate, and plan national policies and programs -- political, military, economic, social, technological, cultural, etc.;
  - d. To illuminate and improve the management, organization, and conduct of national policy;
  - e. To improve and advance theory, methods, and data in disciplines and fields which have a bearing on the above purposes.

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\* Research and studies in the social-behavioral and humanistic fields are directed toward an understanding of human institutions and groups and of individuals as members of groups. They include research and studies of the implications for man and society of developments in the life, physical, and environmental sciences and in mathematics and engineering. The social-behavioral and humanistic disciplines and fields include: anthropology, demography, economics, geography, history, intercultural communications, international relations, law, linguistics, philosophy, political science, psychology, social statistics, sociology, and various multidisciplinary combinations thereof.



2 - Annex A.

2. Such external research activities of member agencies as:

- a. Short-term or ad hoc research programs and projects;
- b. Continuing research programs conducted by Federal Contract Research Centers or other contractors or grantees;
- c. Research abroad funded through excess foreign currencies;
- d. Institutional support and other general-purpose grants to or arrangements with academic or other private institutions for the advancement or application of knowledge relevant to foreign affairs;
- e. Research conferences, symposia, etc.;
- f. Data and information collections, services, and systems related to research.

B. The USC/FAR is indirectly concerned (for information purposes only) with research activities in the above categories of nonmember agencies.

2. Guidelines: In pursuing its purpose within this scope the USC/FAR will give due consideration to:

- A. Both the efficient use of Government resources and the need to run the risks of low payoff which attend some areas of inquiry and which attend innovative research and development in particular;
- B. The importance of high quality in Government-sponsored research;
- C. The advantage of multiple perspectives in the study of situations and problems;
- D. The desirability of making foreign affairs data and knowledge cumulative and readily accessible;
- E. The need to facilitate utilization of existing knowledge as well as of the findings of sponsored research;

3 - Annex A.

- F. The importance of developing and experimenting with the application to foreign affairs research and analysis of new approaches, methods, and techniques;
- G. The national interest in having the Government contribute in suitable ways to the development of those individual and institutional capabilities in the external research community which in turn help meet the national need for foreign affairs knowledge and analysis;
- II. The importance of conducting the Government's relations with the private research community on a basis which respects and protects the integrity of both;
- I. The desirability of assisting in the development of foreign research capabilities and of internationalizing support for certain kinds of social-behavioral and humanistic research.

Annex B.

SAMPLE SCHEDULE FOR PREPARATION OF THE CONSOLIDATED RESEARCH PLAN

Preparation of the plan is to be completed on a regular annual schedule so that it can guide member agencies and review authorities in the development of the President's budget. This will require at least the following activities at roughly the times indicated. However, the USC/FAR Chairman has full authority to adjust both activities and timing to make the process more effective in light of experience.

1. 31 March 1971: Member agencies deliver to USC/FAR Chairman:
  - A. A résumé of relevant current external research activities and plans for all of FY 1971;
  - B. A statement of research activities projected for FY 1972;
  - C. A projection of research activities planned in connection with the fiscal year or years beyond 1972;
  - D. A statement of research priorities which the agency believes should shape the plan for FY 1973, etc.;
  - E. After the first year, when an earlier version of the plan exists and is to be revised and updated, an explanation of how the agency activities described in the submissions required by paragraphs A through D above relate to the existing version of the plan.
2. 10 April 1971: Executive Secretary disseminates to appropriate USC/FAR working groups various portions of submissions from agencies.
3. 15 April 1971. Various USC/FAR working groups begin work to develop research plans for their areas of competence. These plans are to be multiagency and multiyear in accordance with guidance given by the USC/FAR Chairman.
4. 20 May 1971: Working groups transmit completed research plans to USC/FAR Chairman.
5. 15 June 1971: Executive Secretary, using research plans from working groups, transmits to the USC/FAR Chairman a draft plan which he has prepared. The draft is to merge working group research plans and to point up major issues to be resolved and choices to be made by the USC/FAR.

2 - Annex B.

6. 1 August 1971: USC/FAR Chairman transmits final version of plan to USC.
7. 1 September 1971: USC approves Consolidated Research Plan.
8. 5 September 1971: Approved plan distributed to USC/FAR working groups, member agencies, the Office of Management and Budget (OMB), and other observers.
9. 10 September 1971 - August 1972: USC/FAR working groups undertake program reviews, project consultations, and such other activities as are directed by the plan or the USC/FAR Chairman, sought by member agencies, or initiated by working group chairmen.
10. 1 October 1971: Member agencies make budget submissions for FY 1973 to OMB in preparation for President's budget in January 1972.
11. 1 February 1972: Executive Secretary alerts member agencies to need for 31 March submission.
12. 31 March 1972: Member agencies deliver new submissions to USC/FAR Chairman as specified in paragraph 1 above and cycle begins again.

Annex C.

INFORMATION RESPONSIBILITIES OF MEMBERS

1. Each member agency representative shall transmit to the Executive Secretary the following information on specific research projects immediately after a grant is awarded or a contract is entered into:

- A. Title of project and brief description.
- B. Sponsoring agency or agencies (including information of any funding by other agencies); monitoring officer or officers.
- C. Contractor, subcontractors if known, and principal researchers; estimated cost; initiation date and estimated completion date.
- D. Summary information pertaining to questions to be investigated, methods, schedules, countries or regions covered.
- E. Individuals in other member agencies involved in the formulation or management of the project.
- F. Classification of project and proposed disposition of reports.
- G. Relationship of project to the current Consolidated Research Plan.

2. Each member agency representative shall transmit to the Executive Secretary three copies of each research report resulting from projects and activities supported by the member agency.

3. Each member agency representative shall cooperate with the USC/FAR Chairman and the Executive Secretary in supplying such additional information as the group requires for its activities. Categories in which information is likely to be required include but are not exhausted by the following:

- A. Information on a member agency's in-house research and study programs and projects;
- B. Information on external research capabilities and limitations;
- C. Information of the state of theory, method, and data in certain fields or academic disciplines;

2 - Annex C.

- D. Information on research management practices;
- E. Information on particular or special or emerging problems in the conduct of external research;
- F. Information on obtaining copies of external research reports and publications produced without Government support;
- G. Information on procedures and problems in agency utilization of research results;
- H. Information on foreign and multinational research capabilities and on international programs for the support and development of these capabilities.

Annex D.

RESPONSIBILITIES OF NONMEMBER AGENCIES

All Federal agencies are responsible for bringing to the attention of the USC/FAR, whether or not they are members, their research projects and programs which fall within its scope (see Annex A). All nonmember agencies, including observer agencies, which support relevant projects, programs, or other activities will designate a contact point to be responsible for providing information on such activities to the USC/FAR Chairman. Information on specific projects will be provided in accordance with paragraph 1 of Annex C. All nonmember agencies, including observer agencies, will, at his request, cooperate with the Chairman of the USC/FAR in identifying problems and opportunities and developing recommendations pertaining to matters of the type described in paragraph 5.F.